



# Goddard Procedures and Guidelines

**DIRECTIVE NO.** GPG 5100.1  
**EFFECTIVE DATE:** \_\_\_\_\_  
**EXPIRATION DATE:** \_\_\_\_\_

**APPROVED BY Signature:** \_\_\_\_\_  
**NAME:** A. V. Diaz  
**TITLE:** Director

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**Responsible Office: 210/PROCUREMENT OPERATIONS DIVISION**

**Title: PROCUREMENT**

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## Preface

### P1. PURPOSE

This procedure establishes requirements for the processing of Goddard Space Flight Center purchases.

### P2. APPLICABILITY

This procedure is applicable to acquisitions of products or services within the scope of the GSFC Quality Management System (See GPD 1270.3).

### P3. AUTHORITY

GPD 1270.3, GSFC Quality Management System (QMS)

### P4. REFERENCES

- a. Federal Acquisition Regulation (FAR)
- b. NASA Federal Acquisition Regulation Supplement (NFS)
- c. NASA Procurement Notices
- d. NPG 5800.1D, NASA Grants and Cooperative Agreements Handbook
- e. GSFC Small Purchase System (SPS) Handbook
- f. GSFC Credit Card Purchases Handbook
- g. GPG 4520.1, Incoming Inspection
- h. GPG 5100.2, Supplier Performance Records
- i. GPG 5100.3, Quality Assurance Letter of Delegation
- j. GPG 5340.2, Control of Nonconforming Product

## Procedure

### 1. DEFINITIONS

- a. Contract - The term “contract” as used in this document, refers to any purchase conducted under the Federal Acquisition Regulations (FAR) (See FAR 2.101(h)).
- b. Contracting Officer (CO) - A person, appointed in accordance with the FAR, with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. Unless prohibited by FAR regulations, CO duties may be delegated to a Contract Specialist or Contract Administrator (See FAR 2.101(h)).
- c. Contracting Officer’s Technical Representative (COTR) - A person exercising authority and responsibility delegated by the CO. This individual represents the CO in the daily surveillance of the contractor, and provides overall technical management of the contract.
- d. Contractor - Anyone providing products or services to GSFC under a contract.
- e. Offer - A response to a solicitation that, if accepted, would bind the offeror to perform the resultant contract. Responses to invitations for bid (sealed bidding) are offers called “bids” or “sealed bids.” Responses to requests for proposals (negotiation) are offers called “proposals.”
- f. Offeror - An entity submitting an offer.
- g. Initiator - The person within the requiring organization who is responsible for initiating the purchase request.

### 2. IMPLEMENTATION

Note: Purchasing is accomplished by following the policies and procedures as outlined in the FAR and NASA FAR Supplement. Purchasing is accomplished in four major phases: Pre-solicitation (2.1); Solicitation and Award (2.2); Administration (2.3); and Contract Closeout (2.4). Roles of the various organizations and personnel involved vary directly and significantly with the phase of the particular purchase, as identified in subsequent paragraphs.

#### 2.1 Phase 1, Pre-solicitation

The initiator shall identify the need for a product or service and determine whether the need can be satisfied through an existing contract. If available through an existing contract, the initiator shall place an order in accordance with established procedures.

2.1.1 In accordance with FAR Part 10, the initiator shall conduct market research to determine if commercial or non-developmental products are available.

2.1.2 The initiator shall develop the description of the requirements, including, as required, a Statement of Work (SOW), specifications, or other descriptions of the product or service that is to be procured, in accordance with the FAR and the related provisions in the NFS. The requirements shall clearly identify:

- a. The type, class, grade, or other precise identification of items being purchased;

- b. The title or other positive identification, and applicable issues of specifications, drawings, process requirements, inspection instructions, and other relevant technical data, including requirements for approval or qualification of product, procedures, process equipment, and personnel;
- c. The title, number, and issue of the quality system standard (e.g., ANSI/ASQC Q9001) to be applied.

2.1.2.1 In addition to the above, the initiator shall indicate in the purchase requirements whether purchased products require GSFC verification at the contractor's premises. When source verification is required, the initiator shall describe verification arrangements (e.g., verification schedule, verification agent, verification scope, etc.) and the method of product release.

2.1.3 The Initiator shall route purchase requests through the appropriate approval cycle. With the exception of Credit Card Purchases, for purchases in accordance with FAR Part 13, the initiator shall use SPS (see the SPS Handbook). For other purchases, the initiator shall use GSFC Form 18-27. Approving officials shall review purchase requests and their ancillary documents for validity of the requirement, incorporation of appropriate quality provisions, estimated costs, availability of funds, and other aspects of good management.

2.1.4 The initiator shall use the appropriate instructions for purchases (see FAR and NFS Parts 12, 13, 14, and 15). For Government Credit Card Purchases, see FAR Part 13.301 and the *GSFC Credit Card Handbook*. For grants and cooperative agreements, see the *NASA Grants and Cooperative Agreements Handbook* for instructions. For purchases at or below the micro-purchase threshold (see FAR Part 2.101), the initiator shall use the appropriate instructions in FAR Part 13 and NFS Part 18-13, for purchases. For purchases above the simplified acquisition threshold, the initiator shall use the appropriate instructions in FAR Parts 12, 14, and 15, and NFS Parts 18-12, 18-14, and 18-15, for purchases. Before submitting the purchase request package to Code 210, the initiator shall make sure that all required ancillary documentation is included. Receiving inspection instructions shall be included as part of the procurement package (see GPG 4520.1).

## 2.2. Phase 2, Solicitation and Award

2.2.1 Upon receipt of a purchase request package, the cognizant Code 210 procurement office shall assign a CO in accordance with NFS 18-4.7301. The CO is responsible for managing the purchasing process through contract closeout.

2.2.2. The CO shall ensure that all purchase requests are complete and define the requirements. As necessary, the CO shall return the purchase request to the initiator for any additional information required to complete the purchase request.

2.2.3. The CO shall select a procurement methodology in accordance with FAR 16.101, considering the complexity and dollar value of the subject requirement, and, contingent on that selection, utilize as a procedural guideline FAR Parts 12, 13.107, 14.2 and 15.4. The CO shall compile a source list in accordance with FAR Parts 14.205 and 15.205. The requirements of FAR Part 6, Competition Requirements shall control the process.

2.2.4. As determined by the procurement method selected, the CO shall prepare an appropriate solicitation in accordance with FAR Parts 12, 13, or 15.

2.2.5. The CO shall receive and maintain responses to solicitations in accordance with FAR Parts 14.401 and 15.411. The CO shall coordinate and lead all activities associated with the evaluation and pre-award

process of a contract in accordance with the applicable portions of either FAR Parts 9, 12, 13, 14, or 15, as required. The CO shall prepare and maintain, as part of the official contract file, the records required by FAR Part 4.8.

2.2.6. The CO shall verify contractor responsibility, in accordance with FAR Part 9.104. If a contractor is found to be not responsible, award may not be made, unless it is a small business and the Small Business Administration issues a certificate of competency (See FAR Part 9).

2.2.7. The CO shall coordinate and obtain approval to award a contract.

### 2.3 Phase 3, Contract Administration

The CO shall manage and monitor contractor performance. The CO shall delegate authority to others as needed and as permitted by FAR and NFS Parts 42. Examples of the CO's authorities and responsibilities include:

- a. Ensuring that contract terms and conditions are satisfied.
- b. Modifying and changing the contract and its requirements in accordance with FAR Part 43. Only the CO may execute changes and modifications. Per NASA policy, the CO shall ensure that the number of changes be held to a minimum, that the impact of a change on technical schedule and cost/price are negotiated in advance of issuance of a change, and that unpriced changes be definitized on strict short deadlines. -
- c. Ensuring that all contractual deliverables are received and accepted following the appropriate procedures and documentation. If the deliverable is a service, the CO shall coordinate technical acceptance, consisting of a memorandum detailing the acceptability of the service, with the COTR. The memorandum shall be the sole responsibility of the COTR. The CO shall accept a contract deliverable or service in accordance with FAR Part 46 and GPG 4520.1 and maintain the receiving file as a quality record for the procurement. The CO has the responsibility for file maintenance in accordance with the FAR and NFS.
- d. With the assistance of the COTR, the CO shall provide inputs to the Supplier Performance Records, in accordance with GPG 5100.2.

2.3.1. If a non-GSFC agent is selected to perform GSFC source verification (see 2.1.2.1), the initiator shall prepare necessary letter(s) of delegation describing the agent's responsibilities and authorities and forward to the agent through the C.O. (see GPG 5100.3)

2.3.2. The initiator shall review the contract, including the SOW and product or service specification, to ascertain whether the prescribed products or services require government source inspection.

2.3.3. When required, the initiator shall develop a letter of delegation for government source inspection (see GPG 5100.3) detailing the required levels of inspection dependent on the type of product or services being procured. The initiator shall monitor and provide management oversight of those delegated functions that are performed at the contractors' facilities, conduct periodic safety and quality audits in accordance with the surveillance plan, and perform receiving inspection at GSFC in accordance with GPG 4520.1.

2.3.4. All those involved in monitoring contractor performance are responsible for reporting to the CO any performance discrepancies or problems. Where corrective action is needed, the COTR or initiator will provide the CO with a recommendation as to what action should be taken.

2.3.5. Only the CO, or authorized representative, may require a contractor to take corrective action. When a nonconforming product is received, it shall be controlled in accordance with GPG 5340.2.

## 2.4 Phase 4, Contract Closeout

The CO has sole responsibility for contract closeout and disposition, which shall be accomplished in accordance with FAR Part 4. The CO shall obtain from the initiator, COTR, and others involved in the surveillance process, documentation that all deliveries have been made, all services provided, all issues (quality and other) resolved, and that appropriate reports have been made regarding performance, to determine that complying products have been accepted in accordance with FAR Part 46 and GPG 5330.1. With the assistance of the COTR, the CO shall provide inputs and maintain quality records in accordance with GPG 5100.2 SUPPLIER PERFORMANCE RECORDS.

## 3. RECORDS

### Supplier Performance Records

Procurement Flowchart 1 of 2

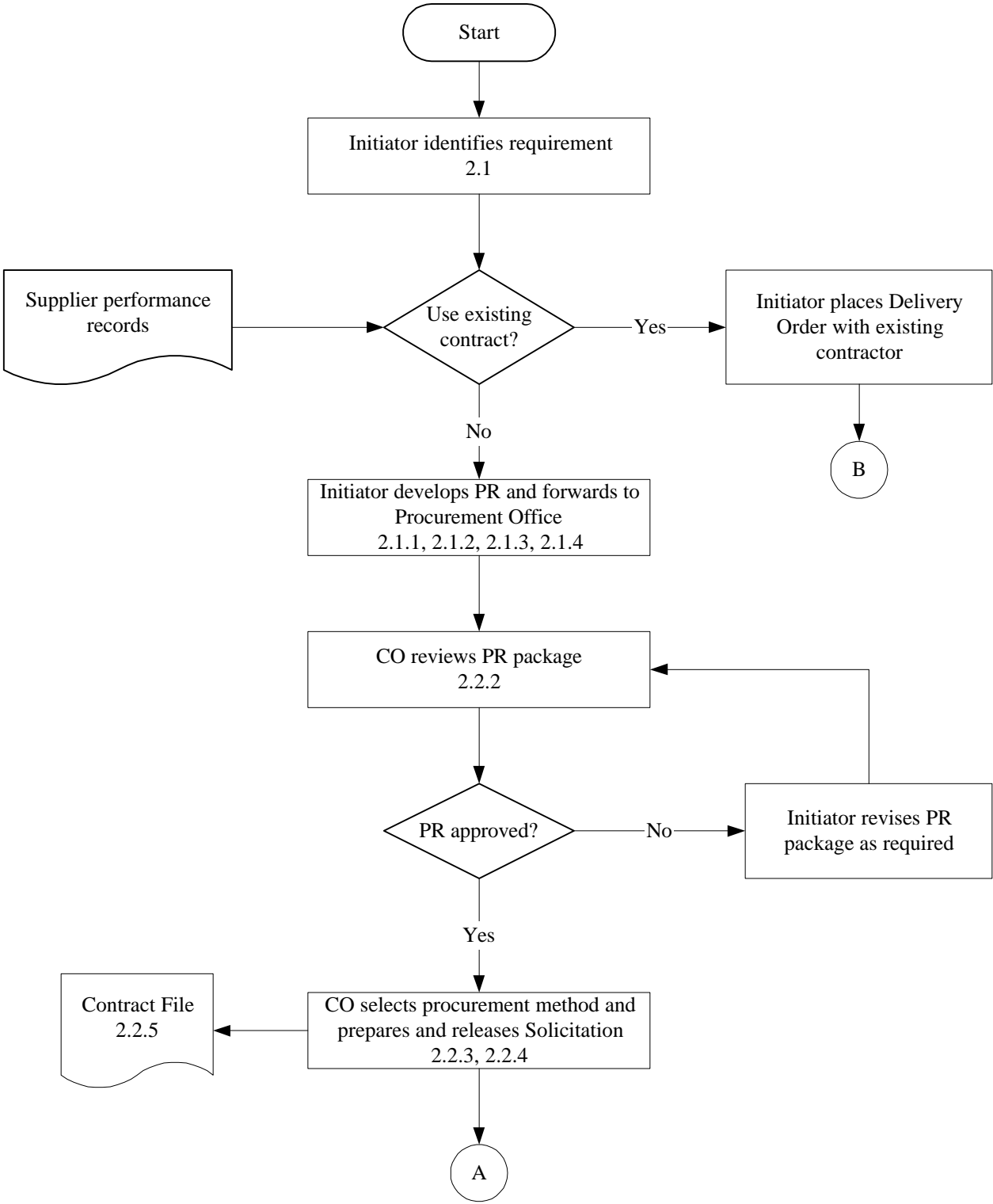


Figure 1

## Procurement Flowchart 2 of 2

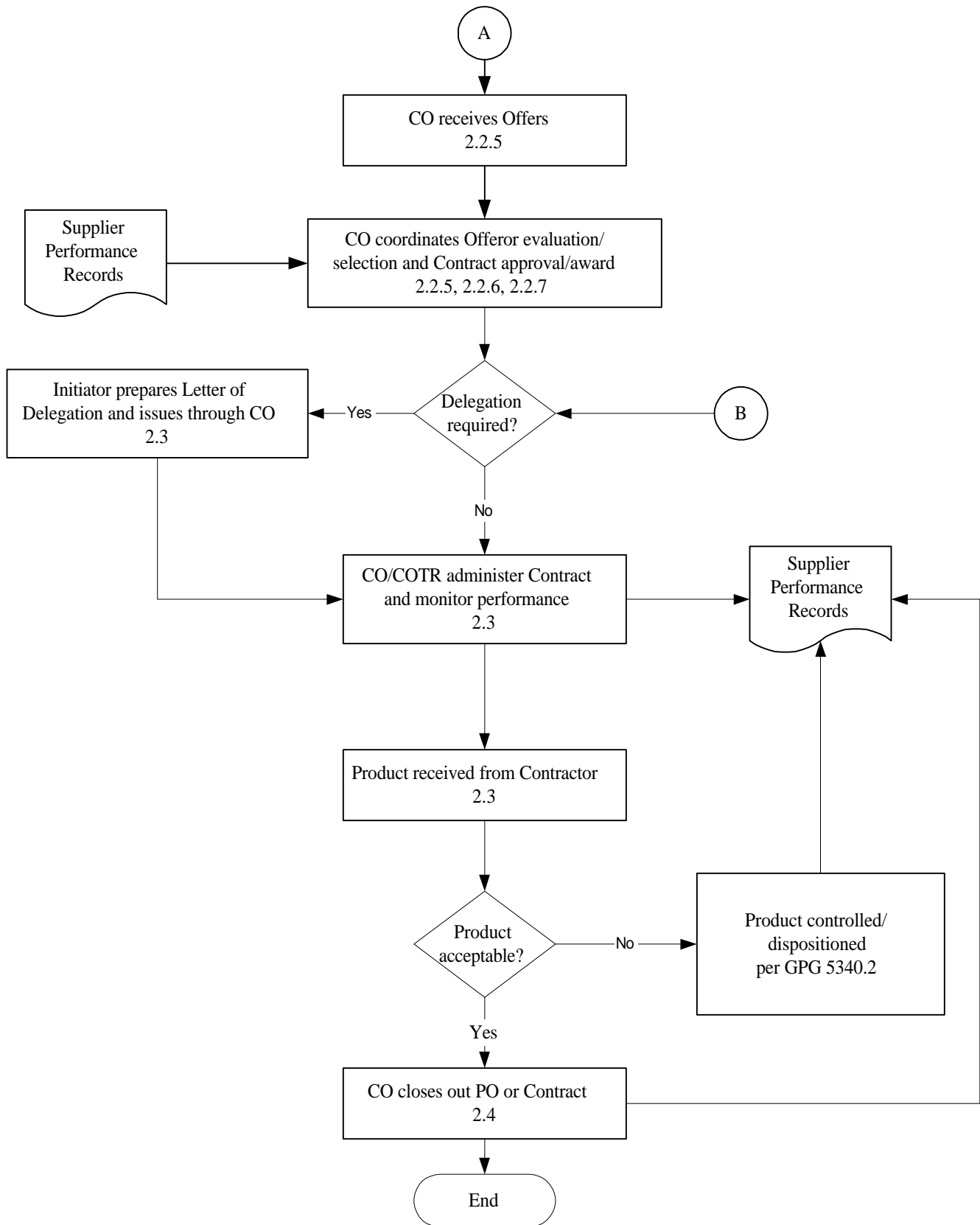


Figure 2